



PATENTS

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

(Attorney Docket No.: 109878.126)

Applicant(s): Ferrari, et al.
Serial No.: 09/998,682
Filed: October 31, 2001
For: HIERARCHICAL DATA-DRIVEN SEARCH AND NAVIGATION
SYSTEM AND METHOD FOR INFORMATION RETRIEVAL
Group Art Unit: 2162
Examiner: Cam-Y T Truong
Confirmation No.: 7368
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

CERTIFICATE UNDER 37 C.F.R. 1.8(a)

I hereby certify that this correspondence is being as first class mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date set forth below.

3/2/05
Date

Anthony Sutton
Anthony Sutton

TRANSMITTAL LETTER

Commissioner:

Enclosed for filing in the above-identified patent application are the following documents:

- 1.) Information Disclosure Statement;
- 2.) Form PTO-1449, including 2 references;
- 3.) Copies of the Notification of Transmittal and the International Search Report from PCT/US2004/029142; and
- 4.) Return Postcard.

Please charge any deficiency or credit any overpayment in connection with this matter to Deposit account No. 08-0219.

Respectfully submitted,

Date: February 28, 2005

Ayla A. Lari
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INFORMATION DISCLOSURE STATEMENT

Applicants and their legal representatives hereby make of record on the attached Form PTO-1449 the following publications which are known to them and considered warranting disclosure under 37 C.F.R. §1.56 and 1.97-98. Some of the publications were cited in the International Search Report for PCT/US2004/029142. A copy of the International Search Report is enclosed. Copies of the cited U.S. patent references are not enclosed as the requirement under 37 CFR 1.98(a)(2)(i) has been waived.

Submission of this statement is not a representation that a search has been made, nor is information included in this statement an admission that the information is material to patentability.

It is respectfully requested that the Examiner initial and return a copy of the subject Form PTO-1449 with the next Patent Office communication.

Pursuant to 37 C.F.R. 1.97(e)(2), no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of the information disclosure statement; therefore, no fee is believed to be due. In the event of a fee deficiency, the Commissioner is authorized to charge any underpayment or credit any overpayment to Deposit Account No. 08-0219.

Respectfully submitted,

Date: January 28, 2005

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| Substitute for form 1449/PTO | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i> | | Application Number | 09/998,682 |
| | | Filing Date | October 31, 2001 |
| | | First Named Inventor | Ferrari, et al. |
| | | Art Unit | 2162 |
| | | Examiner Name | Cam-Y T Truong |
| Sheet 1 of 1 | Attorney Docket Number | 109878.126 | |

| U.S. PATENT DOCUMENTS | | | | | |
|-----------------------|-----------------------|--|--------------------------------|--|---|
| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number-Kind Code ² (if known) | | | |
| | | 4,879,648 | 11/7/1989 | Cochran, et al. | |
| | | 5,206,949 | 4/27/1993 | Cochran, et al. | |
| | | 5,768,581 | 6/16/1998 | Cochran | |
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| | | 6,453,315 | 9/17/2002 | Weissman, et al. | |
| | | US 2004/0117366 A1 | 6/17/2004 | Ferrari, et al. | |

| FOREIGN PATENT DOCUMENTS | | | | | |
|--------------------------|-----------------------|--|--------------------------------|--|---|
| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number-Kind Code ² (if known) | | | |
| | | EP 0 597 630 A1 | 5/18/1994 | Conquest Software, Inc. | |
| | | WO 03/027902 A1 | 4/3/2003 | Endeca Technologies, Inc. | |

| | |
|--------------------|-----------------|
| Examiner Signature | Date Considered |
|--------------------|-----------------|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is established to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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